



FEDERAL PREPAREDNESS CIRCULAR

Federal Emergency Management Agency
Washington, D.C. 20472

FPC 64

November 20, 1990

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: Continuity of the Executive Branch of the Federal Government at the Regional Level During National Security Emergencies

1. Purpose. This Federal Preparedness Circular (FPC) provides general guidance to all Federal departments and agencies on the preservation of regional continuity of the civil elements of the Federal Government during national security emergencies.

2. Applicability and Scope. The provisions of this FPC are applicable to all Federal departments and agencies with Continuity of Government (COG) responsibilities assigned in Section 202 of Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities.

3. Supersession. The provisions of this FPC supersede the Office of Emergency Planning Circular 9100.4, Federal Preparedness Planning and Emergency Operations at Regional Level, June 27, 1973.

4. Authorities.

a. EO 12656, Assignment of Emergency Preparedness Responsibilities, Sections 104(c) and 202, and Part 17, dated November 18, 1988.

b. EO 12148, Federal Emergency Management, Section 2-101, as amended, dated July 20, 1979.

c. EO 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, Section 1(c)(1), dated April 3, 1984.

5. References.

a. FPC 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies.

b. FPC 61, Emergency Succession to Key Positions of the Federal Departments and Agencies.

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c. FPC 62, Predelegation of Emergency Authorities.

d. Office of Management and Budget (OMB) Circular A-105, Standard Federal Regions, dated April 4, 1974.

6. Summary of Policy. To ensure continuity of the executive branch of the Federal Government at the regional level, the heads of all Federal departments and agencies are responsible for assigning their regional elements emergency preparedness functions and responsibility for developing and maintaining regional emergency plans and programs. Central to the conceptual framework for regional COG is the establishment of regional crisis management organizations to perform department or agency essential regional functions at their respective regional headquarters and functionally organized Regional Emergency Management Teams (REMT's). Each REMT is to have the capability to manage the performance of regional level essential functions and to support the activities of the national government in response to national security emergencies. The REMT must have the capability to operate outside the uniform regional council of cities, when necessary.

7. Background. It is the policy of the Federal Government to develop, implement, and maintain measures to ensure performance of the following essential functions at all levels of government:

a. To facilitate a comprehensive and cohesive response by the Federal Government to national security emergencies, regional elements of the Federal Government have a responsibility to support and complement the performance of essential functions by their respective Federal department and agency national-level officials.

b. FPC 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, assigned executive branch departments and agencies to one of three categories commensurate with their responsibilities in response to national security emergencies. Category I and II departments and agencies are listed in attachment A. All other agencies and instrumentalities of the Federal executive branch are in category III. These assignments were established by assessing the national essentiality of the functions to be performed by the department or agency, the degree of need for the capability to operate immediately and continuously, and the nature and characteristics of their emergency responsibilities. The following three categories of executive branch departments and agencies are:

(1) Category I. This category consists of Federal departments and agencies expected to play a major role in establishing broad policy parameters, participating in setting national priorities, and defining and implementing strategies for

national priorities, and defining and implementing strategies for response to national security emergencies. Category I Federal departments and agencies are required to have a continuous emergency operating capability during national security emergencies.

(2) Category II. This category consists of Federal departments and agencies that provide special services to support the implementation of national policies and strategies in response to national security emergencies. These Federal departments and agencies are required to establish an emergency operating capability, but that capability may be interrupted during extreme emergencies such as nuclear attack.

(3) Category III. This category consists of Federal departments and agencies without significant National Security Emergency Preparedness (NSEP) responsibilities. There is no requirement to establish an emergency operating capability.

c. Categories I and II. The head of each category I and II Federal department and agency must determine the appropriate category of emergency responsibility for each of their national and regional component organizations and identify the appropriate times for their contribution to the national or regional level performance of essential functions.

8. Policy. Section 202 of EO 12656 requires the head of each Federal department and agency to ensure the continuity of essential functions in any national security emergency. To accomplish this, it is necessary for the head of each Federal department and agency to provide for succession to office; delegation of emergency authority; the safekeeping of essential resources, facilities, and records; and the establishment of emergency operating capabilities at the regional level. The establishment of an emergency operating capability depends on a variety of emergency preparedness measures such as alternate emergency operating facilities, emergency action documentation, and redundant and enduring communications assets.

a. Federal departments and agencies in category I shall identify their regional elements that must perform emergency functions at the regional level and shall designate them as either category I, II, or III regional elements in accordance with criteria established by FPC 60 and discussed in subparagraph 7b.

b. Federal departments and agencies in category II shall identify their regional elements that must perform emergency functions at the regional level and designate them as either category II or III regional elements in accordance with criteria established by FPC 60 and discussed in subparagraph 7b.

c. Regional elements assigned to category I must develop and maintain the capability to perform their essential governmental functions in national emergency situations from at least two locations: their primary regional headquarters and an alternate emergency operating facility operated by the Federal Emergency Management Agency (FEMA). The office where current day-to-day business is conducted is the primary regional headquarters. The staff assigned to serve at the primary regional headquarters during emergencies comprises the department's or agency's primary regional crisis management organization. The staff assigned to serve at the alternate regional headquarters will comprise a functionally organized REMT.

9. Responsibilities. FEMA regional staff will be available in each FEMA region to assist other Federal departments and agencies in meeting these responsibilities.

a. Category I Regional Elements. Category I departments and agencies that have category I regional elements shall develop emergency operations plans and programs that include, but are not limited to the following:

(1) Assigning officials to two regional teams to perform essential functions of the department or agency:

(a) A regional crisis management organization to perform the department's or agency's essential functions at its regular office as long as its regular office is operable, unless otherwise notified by an appropriate authority; and

(b) An REMT to perform essential functions at the Federal Regional Center (FRC), or if an appropriate liaison activity with the REMT in the FRC can be established, at the department's or agency's emergency operating facility.

(2) Establishing training and exercise requirements for officials assigned to the regional crisis management organizations and the REMT's;

(3) Designating a senior representative from the department or agency regional crisis management organization to provide liaison support to the FEMA Regional Director for planning and coordination purposes;

(4) Relocating REMT members to the FRC or to the department's or agency's emergency operating facility;

(5) Delegating authorities and assigning of responsibilities to plan for and carry out department or agency essential functions;

(6) Ensuring that REMT members are able to interface with those elements of the infrastructure (including Federal Field Elements, state and local organizations, and the private sector) required of the department or agency to perform each of its essential functions.

(7) Maintaining copies of regional plans developed in accordance with this FPC at their departments' or agencies' national headquarters and their primary and alternate regional headquarters; and

(8) Providing the appropriate FEMA Regional Directors two copies of regional plans, the personnel roster of regional crisis management organizations, and the personnel roster of the REMT's.

b. Category II Regional Elements. Regional elements identified as category II should plan to operate in an emergency from their regular offices as long as conditions permit or until other direction is given by an appropriate authority. Category II regional elements shall be prepared to resume essential services when conditions permit. When category II departments and agencies provide representatives to the National Emergency Management Team, they also may be asked to provide representatives to the REMT.

c. Category III Regional Elements. Regional elements identified as category III should continue to plan to operate in an emergency from their regular offices as long as conditions permit or until other direction is given by an appropriate authority. Category III regional elements will resume operations when directed.

d. Categories II and III Regional Elements. Departments and agencies having category II or category III regional elements will develop and maintain regional emergency operations plans for those elements. The plans should specify the minimum staff cadre required for reactivation of each category II regional element's regular office, if feasible, and at potential alternate locations. Copies of the plans shall be maintained at the national and regional headquarters of the department or agency, and two provided to the FEMA Regional Director. The plans also should, inter alia, provide procedures for the following:

(1) Deactivation of the category II and III regional elements in national emergencies during which the continuity of government is threatened;

(2) Reactivation of category II regional elements as soon as conditions permit; and

(3) Reactivation of category III regional elements upon instructions from national headquarters.

e. Continuity of National Authority. Federal departments and agencies in categories I and II with regional structures that have, or can establish, a capability for effective and continuous emergency operation shall prepare them to accept interim authority and responsibility for performance of essential national functions, consistent with existing law.

f. Security. Personnel assigned to the REMT's are required to have at least a SECRET clearance.

g. Logistical and Administrative Support. FEMA provides logistical and administrative support to the REMT's located at the FRC's. The FRC's may be activated for emergency operations upon instructions from the Director, FEMA, or as necessitated as a result of any circumstances which would reduce the operational capability at a department's or agency's primary location.

10. Coordination.

a. To facilitate effective and cohesive regional emergency preparedness planning practices, the establishment of interagency planning functional groups in such areas as economics, energy, human services, legal and law enforcement, communications, transportation, and other functional areas, as appropriate, is encouraged.

b. FEMA Regional Directors, as representatives of the Director, FEMA, are responsible for coordinating regional civil emergency preparedness planning and, when specifically authorized, operations.

c. The 10 standard Federal regions provide the basic framework for the distribution of Federal assets and resources for the construction of a nationwide regional continuity of government architecture (see attachment B). As a general policy, Federal departments and agencies are required to conform to 10 standard Federal regions or combinations thereof. OMB Circular A-105, Standard Federal Regions, dated April 4, 1974, provides for a standard regional organizational structure for regional coordination of national emergency plans and programs; however, deviations from the standard regions may be recognized for emergency planning purposes where appropriate.

d. Regional emergency preparedness plans of category I Federal departments and agencies shall recognize the 10 standard Federal regions; however, the area of emergency management responsibility of each REMT may be defined as a standard Federal region or a combination of standard Federal regions.

e. Each Federal department and agency shall designate a lead office in each region to coordinate emergency planning for all of the department's or agency's offices in that region.

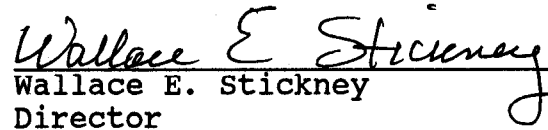
f. Federal departments and agencies with fewer than 10 regions should make arrangements with the appropriate FEMA Regional Directors within those standard Federal regions not otherwise covered. Each Federal department and agency with more than 10 regions will determine which regional offices will represent it in each standard Federal region. The FEMA Regional Director shall inform the Director, FEMA, of these arrangements.

g. Since FRC's have limited capacities, REMT members assigned to FRC's for emergency operations are limited to personnel required to perform essential functions. If it is determined that the essential regional functions of a department or agency cannot be performed by a REMT in the designated FEMA facility, then other facilities of the departments and agencies may be used. In such cases, appropriate representation with the REMT is required for interagency coordination and liaison purposes. REMT staffing allocations in the FRC's are determined by the FEMA Regional Director in coordination with the concerned departments' and agencies' national level authorities. Selection of REMT personnel shall be based on possession of knowledge and skills required to perform the department's or agency's essential functions.

11. Records. Based on policy guidance from FEMA, procedural guidance from the National Archives and Records Administration, applicable Federal departments' and agencies' directives, and other established Federal authorities, category I regional elements determine records necessary to accomplish assigned essential functions during the emergency situation. Duplicate sets of such records shall be maintained at their primary and alternate emergency operating facility. In compiling the essential records, agencies are encouraged to make maximum use of microform documents and/or computer format records to reduce storage space requirements. Federal departments and agencies shall ensure the receipt, control, and maintenance of classified material in their primary and the alternate emergency operating facilities. Category II and category III regional elements shall establish records, as appropriate.

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12. Distribution. This FPC is distributed to the heads of Federal departments and agencies, their emergency coordinators, planners, and program managers, and other interested parties.


Wallace E. Stickney
Director

Attachments

- A - Category I, II, AND III Departments and Agencies
- B - Standard Federal Regions

Attachment A

CATEGORY I, II, AND III DEPARTMENTS AND AGENCIES

1. CATEGORY I DEPARTMENTS AND AGENCIES

EXECUTIVE DEPARTMENTS

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of the Treasury
Department of Veterans Affairs

EXECUTIVE OFFICE OF THE PRESIDENT

National Security Council
Office of Management and Budget
Office of Science and Technology Policy

AGENCIES

Central Intelligence Agency
Environmental Protection Agency
Federal Communications Commission
Federal Emergency Management Agency
Federal Reserve Board
General Services Administration
Interstate Commerce Commission
National Communication System
Office of Personnel Management
United States Postal Service

2. CATEGORY II DEPARTMENTS AND AGENCIES

EXECUTIVE DEPARTMENTS

Department of Education

EXECUTIVE OFFICE OF THE PRESIDENT

Council on Environmental Quality

AGENCIES

Commodity Futures Trading Commission
Export-Import Bank of the United States
Farm Credit Administration
Federal Deposit Insurance Corporation
Federal Mediation and Conciliation Service
Government Printing Office
National Aeronautics and Space Administration
National Archives and Records Administration
National Credit Union Administration
National Labor Relations Board
National Mediation Board
National Science Foundation
Nuclear Regulatory Commission
Railroad Retirement Board
Securities and Exchange Commission
Selective Service System
Small Business Administration
Tennessee Valley Authority
United States Information Agency

3. CATEGORY III DEPARTMENTS AND AGENCIES

Other elements of the executive branch (e.g.,
commissions, bureaus, et cetera).

Attachment B

